



## Administrative Policies and Procedures: 18.28

<b>Subject:</b>	<b>Program Audit Process and Monitoring Inspections for Youth Development Centers</b>
<b>Authority:</b>	TCA 37-5-105; 37-5-106; 37-5-113
<b>Standards:</b>	<b>ACA:</b> 3-JTS-1A-23; <b>DCS Practice Model Standard:</b> 8-306
<b>Application:</b>	To All Department of Children's Services Employees

### Policy Statement:

Program audits and monitoring inspections shall be conducted for all Youth Development Centers that will identify, assess and report quality of life, overall agency operations and compliance with applicable laws, departmental policies and procedures, DCS Standards of Professional Practice and the American Correctional Association (ACA) standards.

### Purpose:

To ensure a process to conduct monitoring and audits at YDCs that will reveal how well the YDC operations and programs are complying with applicable policies and procedures, rules, mandates and standards.

### Procedures:

<b>A. Schedule and notification of audit</b>	<ol style="list-style-type: none"><li>1. The Program Coordinator for American Correctional Association (ACA) audits will prepare a preliminary schedule of audits for the fiscal year that will be forwarded to each Youth Development Center Superintendent/designee, by June 30<sup>th</sup> of each year.</li><li>2. It will be the responsibility of the Program Coordinator for ACA audits to notify each Youth Development Center Superintendent of the expected dates of the audit at least two (2) weeks prior to the scheduled audit.</li></ol>
<b>B. Responsibilities of the audit team leader prior to a scheduled audit</b>	<ol style="list-style-type: none"><li>1. The Program Coordinator for ACA Audits will function as the audit team leader and coordinate all arrangements regarding the audit process including, but not limited to:<ol style="list-style-type: none"><li>a) Making in-state lodging reservations;</li><li>b) Arranging transportation to facility;</li><li>c) Selecting an audit team from DCS staff;</li><li>d) Assembling audit documents; and</li></ol></li></ol>

	<ul style="list-style-type: none"> <li>e) Notifying the facility of the dates and times of the audit</li> <li>2. The audit team members must consist of knowledgeable and qualified staff representing the various departmental divisions and functions.</li> <li>3. Team members who have a known conflict with the date(s) assigned must contact the Program Coordinator for ACA Audits to make alternate arrangements as soon as possible.</li> </ul>
<b>C. Audit process</b>	<ul style="list-style-type: none"> <li>1. Upon arrival at the DCS facility, the audit team will meet with the Youth Development Center Superintendent and other appropriate staff to discuss the scope of the audit activities.</li> <li>2. All documentation for the audit team to review will be clearly referenced and easily accessible.</li> <li>3. The Program Coordinator for ACA Audits will be responsible for making audit assignments to be monitored by the audit team members.</li> <li>4. During the audit, the audit team will: <ul style="list-style-type: none"> <li>a) Tour the facility for a visual inspection of program operations;</li> <li>b) Review compliance documentation and other pertinent information for auditing purposes;</li> <li>c) Interview staff and youth; and</li> <li>d) Assess quality of life of youth.</li> </ul> </li> <li>5. At the conclusion of the audit, the Program Coordinator for ACA Audits will conduct an exit conference with the Youth Development Center Superintendent other appropriate staff to discuss the results and findings of the audit and will ensure that all data has been gathered and collected for the purpose of reporting.</li> </ul>
<b>D. Inspection guidelines/ monitoring instruments for YDCs</b>	<ul style="list-style-type: none"> <li>1. It will be the responsibility of the DCS Division of Licensing, Office of Performance and Quality Improvement to manage the development and review of the compliance inspection instruments.</li> <li>2. Audit instruments/ techniques will be developed according to the following guidelines: <ul style="list-style-type: none"> <li>a) Objective criteria for measuring compliance</li> <li>b) Areas audited must be for compliance with ACA standards, DCS Policies and Procedures, DCS Standards of Professional Practice or other authority, <i>i.e.</i>, Departments of Personnel, Finance and Administration and Department of Health guidelines.</li> <li>c) Measurement of compliance documentation will be <i>compliant</i> or <i>non-compliant</i> with ninety percent (90%) or better of a statistically significant sample being considered as compliant.</li> <li>d) At Youth Development Centers all mandatory standards associated with ACA accreditation standards will be reviewed with one hundred (100%)</li> </ul> </li> </ul>

	<p>compliance required to pass the program audit.</p> <p>e) Policy compliance instruments will be disseminated to the facility being audited by the Program Coordinator for ACA Audits at least one (1) month prior to the audit.</p>
<b>E. Audit reports</b>	<ol style="list-style-type: none"><li>1. After the audit has been conducted and completed, the Program Coordinator for ACA Audits will:<ol style="list-style-type: none"><li>a) Compile all comments and data into a report within fifteen (15) working days after the audit.</li><li>b) Forward the preliminary report to Director, DCS Division of Licensing, pending the facility's response to any findings.</li><li>c) Forward copies of the initial report to the appropriate facility superintendent and the Executive Director of Juvenile Justice.</li><li>d) Upon receipt of the report, the Youth Development Center Superintendent will have fifteen (15) working days to respond to any findings.</li></ol></li><li>2. The final report, including the responses from the Youth Development Center Superintendent will be forwarded to the Director, DCS Division of Licensing, who will forward the report to the Commissioner for review. Additional copies of the final report will be forwarded as follows:<ol style="list-style-type: none"><li>a) Deputy Commissioner, Division of Juvenile Justice</li><li>b) Executive Director, Administration and Compliance for Office of Juvenile Justice</li><li>c) Other pertinent staff and persons, including, but not limited to:<ul style="list-style-type: none"><li>◆ Director of Medical and Behavioral Services</li><li>◆ Director of Food Services</li><li>◆ Director of Internal Audit</li></ul></li></ol></li></ol>

<b>Forms:</b>	<i>None</i>
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<b>Collateral documents:</b>	<i>DCS/PQI Monitoring Instruments</i>
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